

Applicant or Patentee: CAROLYN PETERSEN AND JIN-XING HUANG Atty. Docket 480,75-1 (HV)
 Serial or Patent No.: UNASSIGNED Date Filed or Issued: MARCH 27, 1997
 For: CRYPTOPAIN VACCINES, ANTIBODIES, PROTEINS, PEPTIDES, DNA AND RNA FOR
PROPHYLAXIS, TREATMENT, DIAGNOSIS AND DETECTION OF *Cryptosporidium parvum*

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 C.F.R. 1.9(f) and 1.27(d)] - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: THE REGENTS OF UNIVERSITY OF CALIFORNIA
 ADDRESS OF ORGANIZATION: 300 LAKESIDE DRIVE, 22ND FLOOR, OAKLAND, CA 94612-3550

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c) (3))
☒ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
 (NAME OF STATE CALIFORNIA)
 (CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c) (3)) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
 (NAME OF STATE _____)
 (CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CRYPTOPAIN VACCINES, ANTIBODIES, PROTEINS, PEPTIDES, DNA AND RNA FOR PROPHYLAXIS, TREATMENT, DIAGNOSIS AND DETECTION OF *Cryptosporidium parvum* by inventors CAROLYN PETERSEN AND JIN-XING HUANG as described in:

- ☒ the specification filed herewith
☐ application serial no. _____, filed _____
☐ patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. 1.9(d) or by any concern which would not qualify as a small business concern under 37 1.9(d) or a non profit organization under 37 C.F.R. 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)

NAME NOT APPLICABLE
 ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING LINDA S. STEVENSON
 TITLE IN ORGANIZATION SENIOR PROSECUTION ANALYST, OFFICE OF TECHNOLOGY
 ADDRESS OF PERSON SIGNING 300 LAKESIDE DRIVE, 22ND FLOOR, OAKLAND, CA 94612-3550

SIGNATURE Linda S. Stevenson DATE March 27, 1997

JC836 U.S. PTO
 09/598062
 06/20/00

DECLARATION AND POWER OF ATTORNEY

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT OR CIP APPLICATION)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: CRYPTOPAIN VACCINES, ANTIBODIES, PROTEINS, PEPTIDES, DNA AND RNA FOR PROPHYLAXIS, TREATMENT AND DIAGNOSIS AND FOR DETECTION OF *Cryptosporidium* SPECIES

the specification of which: (complete (a),(b) or (c) for type of application)

REGULAR OR DESIGN APPLICATION

- (a) ☐ is attached hereto.
(b) ☒ was filed on March 27, 1997 as Application Serial No. 08/827,171.

PCT FILED APPLICATION ENTERING NATIONAL STAGE

- (c) ☐ was described and claimed in International Application No. _____ filed on _____ and as amended on _____

ACKNOWLEDGEMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose the information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations § 1.56(a).

☐ In compliance with this duty there is attached an information disclosure statement. 37 C.F.R. 1.97.

PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

(complete (d) or (e))

- (d) ☒ no such applications have been filed.
(e) ☐ such applications have been filed as follows

EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION

Country	Application No.	Date of filing (day, month, year)	Date of issue (day, month, year)	Priority Claimed
				<input type="checkbox"/> YES <input type="checkbox"/> NO
				<input type="checkbox"/> YES <input type="checkbox"/> NO
				<input type="checkbox"/> YES <input type="checkbox"/> NO

ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION

CONTINUATION-IN-PART

(complete part only if this is a continuation-in-part application)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

60/014,233 March 27, 1996 pending
(Application Serial No.) (Filing Date) (Status) (patented, pending, abandoned)

(Application Serial No.) (Filing Date) (Status) (patented, pending, abandoned)

(Application Serial No.) (Filing Date) (Status) (patented, pending, abandoned)

POWER OF ATTORNEY

As a named inventor, I hereby appoint HANA VERNY, Registration No. 30,518, HOWARD M. PETERS, Registration No. 29,202, ALLSTON L. JONES, Registration No. 27,906, JANIS BIKSA, Registration No. 33,648, and CHARLES S. GUENZER, Registration No. 30,640 all of the address listed below, my principal attorney and agents, with full power of substitution and revocation, to appoint other principal and associate attorneys, to prosecute this application, and to transact all business in the Patent and Trademark Office connected therewith.

SEND CORRESPONDENCE TO:

Hana Verny
PETERS, VERNY, JONES & BIKŠA, L.L.P.
385 Sherman Avenue, Suite 6
Palo Alto, CA 94306-1840
Telephone No.: (415) 324-1677

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of sole or first inventor CAROLYN PETERSEN
Inventor's signature *Carolyn Petersen*
Date May 20, 1997 Country of Citizenship United States
Residence 82 FAIRLAWN DRIVE, BERKELEY, CALIFORNIA 94708
Post Office Address Same as above

Full Name of second joint inventor, if any JIN-XING HUANG
Inventor's signature *Jin-Xing Huang*
Date May 20, 1997 Country of Citizenship China
Residence 860 JAMESTOWN AVENUE, SAN FRANCISCO, CALIFORNIA 94124
Post Office Address Same as above

CHECK PROPER BOX(ES) FOR ANY ADDED PAGE(S) FORMING A PART OF THIS DECLARATION

- ☐ Signature for third and subsequent joint inventors. Number of pages added _____.
- ☐ Signature by administrator(trix), executor(trix) or legal representative for deceased or incapacitated inventor. Number of pages added _____.
- ☐ Signature for inventor who refuses to sign or cannot be reached by person authorized under 37 C.F.R. 1.47. Number of pages added _____.

ASSIGNMENT

U.C. Case No. 96-279-2

Attorney Docket No. 480.75-1 (HIV)

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. CAROLYN PETERSEN

2. JIN-XING HUANG

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 300 Lakeside Drive, 22nd Floor, Oakland, CA 94612-3550, and the successor, assigns and legal representatives of the ASSIGNEE all of its/their right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

CRYPTOPAIN VACCINES, ANTIBODIES, PROTEINS, PEPTIDES, DNA AND RNA FOR PROPHYLAXIS, TREATMENT AND DIAGNOSIS AND FOR DETECTION OF *Cryptosporidium* SPECIES

and which is found in

- (a) _____ U.S. patent application executed on _____, entitled as above and listing the above named person(s) as inventor(s).
- (b) X U.S. application serial no. 08/827,171, filed on March 27, 1997
- (c) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this agreement;

ASSIGNOR(S) further covenant(s) that ASSIGNEE, will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this


20 day of May, 1997

20 day of May, 1997

Signature of Inventor(s)



Carolyn Petersen



Jin-Xing Huang